

APR 02 2004

FORM PTO-1449	SERIAL NO. 10/001,237	CASE NO. 4672/363
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	FILING DATE October 30, 2001	GROUP ART UNIT 2167
(use several sheets if necessary)		APPLICANT(S): Brady et al.

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
FP	A1	5,924,082	07/1999	Silverman et al.	1	
	A2	5,950,176	09/1999	Keiser et al.	1	
	A3	6,236,972 B1	05/2001	Shkedy	1	
	A4	US 2001/0034695 A1	10/2001	Wilkinson	1	
	A5	US 2001/0044771 A1	11/2001	Usher et al.	1	
	A6	6,317,727 B1	11/2001	May	1	
	A7	US 2001/0042036 A1	11/2001	Sanders	1	
	A8	6,321,212 B1	11/2001	Lange	1	
	A9	US 2002/0002530 A1	01/2002	May	1	
	A10	US 2002/0016760 A1	02/2002	Pathak	1	
	A11	6,347,307 B1	02/2002	Sandhu et al.	1	
	A12	6,421,653 B1	07/2002	May	1	
	A13	US 2002/0099651 A1	07/2002	May	1	
	A14	US 2002/0116317 A1	08/2002	May	1	
	A15	US 2002/0138390 A1	09/2002	May	1	
	A16	US 2002/0156749 A1	10/2002	Finebaum et al.	1	
	A17	US 2002/0169703 A1	11/2002	Lutnick et al.	1	
	A18	US 2002/0174055 A1	11/2002	Dick et al.	1	
	A19	US 2003/0004853 A1	01/2003	Ram et al.	1	
	A20	6,505,174 B1	01/2003	Keiser et al.	1	
	A21	US 2003/0023536 A1	01/2003	Hollerman et al.	1	
	A22	US 2003/0028476 A1	02/2003	Jenkins et al.	1	
	A23	US 2003/0033212 A1	02/2003	Sandhu et al.	1	
	A24	US 2003/0061148 A1	03/2003	Alavian	1	
	A25	US 2003/0083978 A1	05/2003	Brouwer	1	
	A26	US 2003/0093360 A1	05/2003	May	1	
	A27	US 2003/0097328 A1	05/2003	Lundberg et al.	1	
	A28	US 2003/0101125 A1	05/2003	McGill et al.	1	
	A29	US 2003/0115128 A1	06/2003	Lange et al.	1	
	A30	6,618,707 B1	09/2003	Gary	1	
FP	A31	US 2003/0216932 A1	11/2003	Foley	1	
	A32	US 2003/0220868 A1	11/2003	May	1	

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## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES OR NO

EXAMINER INITIAL	OTHER ART – NON PATENT LITERATURE DOCUMENTS <small>(Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.</small>	
FP	A33	Barron's, November 4, 1991, "Derivatives Drive New Network", Barron's, 71, 44, ABI/INFORM Global, pp. 36-37.
	A34	Domowitz, Ian, 1995, "Electronic Derivatives Exchanges: Implicit Mergers, Network Externalities, and Standardization", The Quarterly Review of Economics and Finance, Vol. 35, No. 2, Summer, 1995, pp. 163-175.
	A35	Senior, Adriana, June 11, 1999, "Morgan Buying Into Network for On-Line Security Trades", American Banker, New York, NY, June 11, 1999, Vol. 164, Iss. 111; p. 1, obtained at the internet address: < <a href="http://www.proquest.umi.com/pqdlink?index=26&amp;sid=1&amp;srchmode=3&amp;vinst=PROD&amp;fmt=3&amp;st...">http://www.proquest.umi.com/pqdlink?index=26&amp;sid=1&amp;srchmode=3&amp;vinst=PROD&amp;fmt=3&amp;st...</a> >, March 25, 2004, 3 pages.
	A36	SwapsWire, Press Releases, April 10, 2000, "Leading derivative dealers announce SwapsWire – a pioneering interest rate derivatives electronic dealing network", obtained at the internet address: < <a href="http://www.swapswire.com/press/10_04_00.asp">http://www.swapswire.com/press/10_04_00.asp</a> >, March 18, 2004, 2 pages.
	A37	Guardian Unlimited, The Guardian, April 11, 2000, "Banks plan trading network for \$52 trillion derivatives", obtained at the internet address: < <a href="http://www.guardian.co.uk/business/story/0,3604,178019,00.html">http://www.guardian.co.uk/business/story/0,3604,178019,00.html</a> >, March 18, 2004, 2 pages.
	A38	Financial News Online, May 29, 2000, "Creditex Widens Access", obtained at the internet address: < <a href="http://www.efinancialnews.com/index.cfm?...">http://www.efinancialnews.com/index.cfm?...</a> >, March 29, 2004, 1 page.
	A39	Ostrovsky, Arkady, June 28, 2000, "Working towards a seamless link: GLOBAL PROTOCOL by Arkady Ostrovsky: A project aimed at automating the flow of information across the entire derivatives network will deal initially interest rate swaps, with other products being incorporated into the standard over time [Surveys edition]", Financial Times, London, June 28, 2000, p. 4, obtained at the internet address: < <a href="http://proquest.umi.com/pqdlink?index=1&amp;sid=1&amp;srchmode=1&amp;vinst=PROD&amp;fmt=3&amp;sta...">http://proquest.umi.com/pqdlink?index=1&amp;sid=1&amp;srchmode=1&amp;vinst=PROD&amp;fmt=3&amp;sta...</a> >, March 25, 2004, 3 pages.
YFP	A40	Looksmart, Business Wire, November 7, 2000, "onExchange Selects Exodus to Host Online Derivatives Exchange; Leading Online Derivatives Exchange Optimizes Network Performance by Selecting Leader in Complex Internet Hosting", obtained at the internet address: < <a href="http://www.findarticles.com/cf_0/m0EIN/2000_Nov_7/66657629/p1/article.jhtml">http://www.findarticles.com/cf_0/m0EIN/2000_Nov_7/66657629/p1/article.jhtml</a> >, March 25, 2004, 3 pages.

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EXAMINER INITIAL	OTHER ART – NON PATENT LITERATURE DOCUMENTS (Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.	
FP	A41	Wall Street & Technology Online, September 11, 2003, "Electronic Trading Newsflashes", obtained at the internet address: <http://www.wstonline.com/printableArticle/?jsessionid=ILJHDTNYRJNVMQSNDBCCKHY?doc_id=14...>, December 5, 2003, 1 page.
	A42	Wall Street & Technology Online, December 4, 2003, "Electronic-Trading Newsflashes", obtained at the internet address: <http://www.wstonline.com/printableArticle/?jsessionid=NA3QPNTTNKCOIQSNDBCCK...>, December 5, 2003, 2 pages.
	A43	Sungard, "InTrader – The integrated, real-time solution for bank treasury and portfolio management", Sungard Securities Processing publication, 2003, 2 pages.
	A44	Network Magazine India, "Case Study: BSE implements intelligent switching architecture – Combining networks intelligently", obtained at the internet address: <http://www.expresscomputeronline.com/cgi-bin/ecprint/MasterPFP.cgi?doc=>, December 5, 2003, 3 pages.
	A45	Network Magazine India, "BSE The Stock Exchange, Mumbai – Network Diagram", obtained at the internet address: <http://www.networkmagazineindia.com/200302/20030206bse.jpg>, December 5, 2003, 1 page.
	A46	Orc Software, "ExNet Network", obtained at the internet address: <http://www.orcsoftware.com/Products/ExNetPIPNetwork.htm>, December 5, 2003, 1 page.
	A47	Orc Software, "Orc Futures", obtained at the internet address: <http://www.orcsoftware.com/Products/OrcFutures.htm>, December 5, 2003, 1 page.
	A48	Orc Software, "Orc Liquidator", obtained at the internet address: <http://www.orcsoftware.com/Products/OrcLiquidator.htm>, December 5, 2003, 1 page.
	A49	Orc Software, "Orc Technology", obtained at the internet address: <http://www.orcsoftware.com/Technology/index.htm>, December 5, 2003, 2 pages.
	A50	Orc Software, "Chicago Board of Trade certifies Orc Software for its electronic trading platform", obtained at the internet address: <http://www.orcsoftware.com/Company/PNR/PNR_031106_e-cbot_eng.htm>, December 5, 2003, 2 pages.
	A51	Silicon Valley Biz Ink, "NYFIX, Inc. Routes OTC Orders to American Stock Exchange", obtained at the internet address: <http://www.prnewswire.com/cgi-bin/stories.pl?ACCT=SVBIZINK3.story&STORY=/www/story/11-24-2...>, December 5, 2003, 2 pages.
	A52	Sungard, "Panorama EQN", obtained at the internet address: <http://www.sungard.com/products_and_services/stars/panorama/solutions/panoramaotcdistribution.htm>, December 5, 2003, 2 pages.
FP	A53	Sungard, "Trading and Decision Support", obtained at the internet address: <http://www.sungard.com/products_and_services/stars/panorama/solutions/panoramatrading.htm>, December 5, 2003, 5 pages.

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FP	A54	Sungard, "Single Integrated Architecture", obtained at the internet address: < <a href="http://www.sungard.com/products_and_services/stars/panorama/solutions/panoramatechnologyandinfrastr...">http://www.sungard.com/products_and_services/stars/panorama/solutions/panoramatechnologyandinfrastr...</a> >, December 5, 2003, 3 pages.
FP	A55	Trading Technologies International, Inc., "X_Trader TT Net", obtained at the internet address: < <a href="http://www.tradingtechnologies.com/blue_net.html">http://www.tradingtechnologies.com/blue_net.html</a> >, December 5, 2003, 1 page.
FP	A56	Trading Technologies International, Inc., "X_Trader Platform", obtained at the internet address: < <a href="http://www.tradingtechnologies.com/blue_xtrader.html">http://www.tradingtechnologies.com/blue_xtrader.html</a> >, March 18, 2004, 3 pages.

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